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JCS53 U.S. PTO

Practitioner's Docket No. 14211.00002

PATENT

JCS997 U.S. PTO
09/978163

10/15/01

Preliminary Classification:

Proposed Class:

Subclass:

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Box Patent Application
Assistant Commissioner for Patents
Washington, D.C. 20231

NEW APPLICATION TRANSMITTAL

Transmitted herewith for filing is the patent application of

Inventor(s): Peter Breuninger

For (title): A METHOD AND SYSTEM FOR MANAGING PORTFOLIO ACCOUNTS

1. Type of Application

This transmittal is for an original (nonprovisional) application.

CERTIFICATION UNDER 37 C.F.R. §§ 1.8(a) and 1.10*
(When using Express Mail, the Express Mail label number is mandatory;
Express Mail certification is optional)

I hereby certify that, on the date shown below, this correspondence is being

deposited with the United States Postal Service in an envelope addressed to the Assistant Commissioner of Patents, Washington D.C. 20231
37 CFR 1.8a
 with sufficient postage as first class mail
 as "Express Mail Post Office to Addressee" Mailing Label
37 CFR 1.10
 No. FLS82442774US

TRANSMISSION

facsimile transmitted to the Patent and Trademark Office, 703 _____


Signature

Todd Conway
Type or print name of person certifying

Date: October 15, 2001

* Only the date of filing (§ 1.6) will be the date used in a patent term adjustment calculation, although the date on any certificate of mailing or transmission under § 1.8 continues to be taken into account in determining timeliness. See § 1.703(f). Consider "Express Mail Post Office to Addressee" (§ 1.10) or facsimile transmission (§ 1.6(d)) for the reply to be accorded the earliest possible filing date for patent term adjustment calculations.

2. Papers Enclosed

A. Required for filing date under 37 C.F.R. 1.53(b) (Regular) or 37 C.F.R. 1.153 (Design)
Application

9 Page(s) of Specification
10 Page(s) of Claims
1 Sheet(s) of Drawing(s)--Informal

B. Other Papers Enclosed

1 Page(s) of abstract

3. Declaration or Oath

Not Enclosed.

4. Inventorship Statement

The inventorship for all the claims in this application is the same.

5. Language

English

6. Fee Calculation (37 C.F.R. Section 1.16)

Regular Application

CLAIMS AS FILED

Claims	Number Filed	Basic Fee Allowance	Number Extra	Rate	Basic Fee 37 CFR 1.16(a) \$740.00
Total Claims (37 CFR 1.16(c))	39	- 20 =	19 x	\$18.00	\$342.00
Independent Claims (37 CFR 1.16(b))	12	- 3 =	9 x	\$84.00	\$756.00
Multiple Dependent Claim(s), if any (37 CFR 1.16(d))			+	\$280.00	\$0.00
Filing Fee Calculation					\$1,838.00

7. Small Entity Statement(s)

Applicant Claims Small Entity Status (See 37 CFR 1.27)

Filing Fee Calculation (50% of above)	\$919.00
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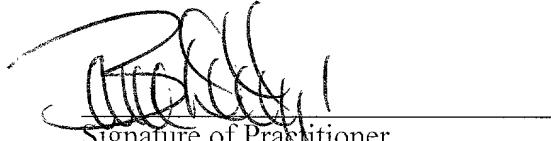
8. Fee Payment Being Made at This Time

Not Enclosed

No filing fee is to be paid at this time.

9. 35 U.S.C. Section 119(e)

This application claims the benefit of U.S. Provisional Application No.: 60/240,486, filed October 13, 2000.



Signature of Practitioner

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